

Risk Retention Groups

Required Filings In The State Of: *Washington*

Filings Made During the Year **2015**

(1) Check- list	(2) Line #	(3) REQUIRED FILINGS FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) FORM SOURCE**	(7) APPLIC- ABLE NOTES
			Domestic		Foreign			
			State	NAIC	State			
		I. NAIC FINANCIAL STATEMENTS						
	1	Annual Statement (8 1/2" x 14")						
	1.1	Printed Investment Schedule detail (Pages E01-E27)						
	2	Quarterly Financial Statement (8 1/2" x 14")						
	3	Protected Cell Annual Statement						
	4	Combined Annual Statement (8 1/2" x 14")						
		II. NAIC SUPPLEMENTS						
	10	Accident & Health Policy Experience Exhibit						
	11	Actuarial Opinion			xxx	set by domestic regulator	Company	O
	12	Actuarial Opinion Summary						
	13	Bail Bond Supplement						
	14	Combined Insurance Expense Exhibit						
	15	Credit Insurance Experience Exhibit						
	16	Director and Officer Insurance Coverage Supplement						
	17	Exceptions to Reinsurance Attestation Supplement						
	18	Financial Guaranty Insurance Exhibit						
	19	Health Care Exhibit (Parts 1, 2 and 3) Supplement						
	20	Health Care Exhibit's Allocation Report Supplement						
	21	Investment Risk Interrogatories						
	22	Insurance Expense Exhibit						
	23	Long-Term Care Experience Reporting Forms						
	24	Management Discussion & Analysis						
	25	Medicare Supplement Insurance Experience Exhibit						
	26	Medicare Part D Coverage Supplement						
	27	Premiums Attributed to Protected Cells Exhibit						
	28	Reinsurance Attestation Supplement						
	29	Reinsurance Summary Supplemental						
	30	Risk-Based Capital Report						
	31	Schedule SIS						
	32	Supplement A to Schedule T						
	33	Supplemental Compensation Exhibit						
	34	Trusted Surplus Statement						
		III. ELECTRONIC FILING REQUIREMENTS						
	60	Annual Statement Electronic Filing						
	61	March .PDF Filing						
	62	Risk-Based Capital Electronic Filing						
	63	Risk-Based Capital .PDF Filing						
	64	Combined Annual Statement Electronic Filing						
	65	Combined Annual Statement .PDF Filing						
	66	Supplemental Electronic Filing						
	67	Supplemental .PDF Filing						
	68	Quarterly Statement Electronic Filing						
	69	Quarterly .PDF Filing						
	70	June .PDF Filing						
		IV. AUDIT / INTERNAL CONTROL RELATED REPORTS						
	81	Accountants Letter of Qualifications						
	82	Audited Financial Reports			xxx	set by domestic regulator	Company	O
	83	Audited Financial Reports Exemption Affidavit						
	84	Communication of Internal Control Related Matters Noted in Audit						
	85	Designation of Independent CPA (change)						

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			Domestic		Foreign			
			State	NAIC	State			
	86	Management's Report of Internal Control Over Financial Reporting						
	87	Notification of Adverse Financial Condition						
	88	Request for Exemption to File						
	89	Request to File Consolidated Audited Annual Statements						
	90	Relief from the five-year rotation requirement for lead audit partner						
	91	Relief from the one-year cooling off period for independent CPA						
	92	Relief from the Requirements for Audit Committees						
		V. STATE REQUIRED FILINGS***						
	101	Certificate of Compliance						
	102	Certificate of Deposit						
	103	Filings Checklist (with Column 1 completed)						
	104	Premium Tax			1	3/1	State	
	105	State Filing Fees						
	106	Signed Jurat						

*If XXX appears in this column, this state does not require this filing, if hard copy is filed with the state of domicile and if the data is filed electronically with the NAIC. If N/A appears in this column, the filing is required with the domiciliary state. EO (electronic only filing).

**If Form Source is NAIC, the form should be obtained from the appropriate vendor.

***For those states that have adopted the NAIC updated Holding Company Model Act, a Form F filing is required annually by holding company groups. Consistent with the Form B filing requirements, the Form F is a state filing only and should not be submitted by the company to the NAIC. Note however that this filing is intended to be submitted to the lead state. For more information on lead states, see the following NAIC URL:
http://www.naic.org/public_lead_state_report.htm

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NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)			
A	Required Filings Contact Person:	ASFI@oic.wa.gov or 360-725-7200	
B	Mailing Address:	The commissioner will access the actuarial opinion and audited financial statements from the electronic filings made with the NAIC.	
C	Mailing Address for Filing Fees:	See the Premium Tax form.	
D	Mailing Address for Premium Tax Payments:	Premium tax information provided separately.	
E	Delivery Instructions:	If the due date is a Saturday, Sunday or legal holiday, the due date is the next business day. For paper documents, the post office cancellation mark or third-party delivery service shipping date is the date filed.	
F	Late Filings:	The due date and extensions are set by the domestic regulator.	
G	Original Signatures:	Foreign: Set by the domestic regulator.	
H	Signature/Notarization/Certification:	Set by the domestic regulator and NAIC Annual Statement Instructions.	
I	Amended Filings:	File with the NAIC.	
J	Exceptions from normal filings:	The filing date (and any extension) is set by the domestic regulator.	
K	Bar Codes (State or NAIC):	Set by the domestic regulator.	
L	Signed Jurat:	not applicable	
M	NONE Filings:	not applicable	
N	Filings new, discontinued or modified materially since last year:	None	
O	What to file:	<p>Only the tax filing and fee payment.</p> <p>We do not require an annual statement, signed Jurats or request for filing extensions.</p> <p>The commissioner will access the actuarial opinion and audited financial statements from the electronic filings made with the NAIC.</p>	

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General Instructions For Companies to Use Checklist

Please Note: This state's instructions for companies to file with the NAIC are included in this Checklist. The NAIC will not be sending their own checklist this year.

Electronic filing is intended to be filing(s) submitted to the NAIC via the NAIC Internet Filing Site which eliminates the need for a company to submit diskettes or CD-ROM to the NAIC. Companies are not required to file hard copy filings with the NAIC.

Column (1) (Checklist)
Not used.

Column (2) (Line #)
Line # refers to a standard filing number used for easy reference. This line number may change from year to year.

Column (3) (Required Filings)
Name of item or form to be filed. The *Annual Statement Electronic Filing* includes the annual statement data and all supplements due March 1, per the *Annual Statement Instructions*. This includes all detail investment schedules and other supplements for which the *Annual Statement Instructions* exempt printed detail.
The *March .PDF Filing* is the .pdf file for annual statement data, detail for investment schedules and supplements due March 1.
The *Risk-Based Capital Electronic Filing* includes all risk-based capital data.
The *Risk-Based Capital .PDF Filing* is the .pdf file for risk-based capital data.
The *Supplemental Electronic Filing* includes all supplements due April 1, per the *Annual Statement Instructions*.
The *Supplemental .PDF Filing* is the .pdf file for all supplemental schedules and exhibits due April 1.
The *Quarterly Statement Electronic Filing* includes the complete quarterly statement data.
The *Quarterly Statement .PDF Filing* is the .pdf file for quarterly statement data.
The *Combined Annual Statement Electronic Filing* includes the required pages of the combined annual statement and the combined Insurance Expense Exhibit.
The *Combined Annual Statement .PDF Filing* is the .pdf file for the Combined annual statement data and the combined Insurance Expense Exhibit.
The *June .PDF Filing* is the .pdf file for the Audited Financial Statements and Accountants Letter of Qualifications.

Column (4) (Number of Copies)
Indicates the number of copies that each foreign or domestic company is required to file for each type of form. The Blanks (EX) Task Force modified the 1999 *Annual Statement Instructions* to waive paper filings of certain NAIC supplements and certain investment schedule detail, if such investment schedule data is available to the states via the NAIC database. The checklists reflect this action taken by the Blanks (EX) Task Force. XXX appears in the "Number of Copies" "Foreign" column for the appropriate schedules and exhibits. **Some states have chosen to waive printed quarterly and annual statements from their foreign insurers and to rely upon the NAIC database for these filings. This waiver could include supplemental annual statement filings. The XXX in this column might signify that the state has waived the paper filing of the annual statement and all supplements.**

Column (5) (Due Date)
Indicates the date on which the company must file the form.

Column (6) (Form Source)
This column contains one of three words: "NAIC," "State," or "Company," If this column contains "NAIC," the company must obtain the forms from the appropriate vendor. If this column contains "State," the state will provide the forms with the filing instructions. If this column contains "Company," the company, or its representative (e.g., its CPA firm), is expected to provide the form based upon the appropriate state instructions or the NAIC *Annual Statement Instructions*.

Column (7) (Applicable Notes)
This column contains references to the Notes to the Instructions that apply to each item listed on the checklist. The company should carefully read these notes before submitting a filing.

This is a courtesy summary; it does not relieve the reporting entity from complying with all statutes and regulations.